

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANTS: Angelico and Ricci
ASSIGNEE: Twin Rivers Technologies, L.P.
SERIAL NUMBER: Not Yet Assigned EXAMINER: Not Yet Assigned
FILING DATE: August 24, 2001 ART UNIT: Not Yet Assigned
FOR: USE OF A NATURAL OIL BYPRODUCT AS A REDUCED-EMISSIONS ENERGY
SOURCE

STATEMENT CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(f) and 1.27(c) – SMALL BUSINESS CONCERN)

I hereby state that I am an official of the small business concern empowered to act on behalf of the concern identified below:

TWIN RIVERS TECHNOLOGIES, L.P.
780 WASHINGTON STREET
QUINCY, MASSACHUSETTS 02169

I hereby state that the above identified small business concern qualifies as a small business concern, as defined in 13 C.F.R. § 121, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees to the United States Patent and Trademark Office under Sections 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average numbers of employees on a full-time, part-time or temporary basis for each of the pay periods for the preceding completed 12 calendar months, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third-party or parties controls or has the power to control both.

I hereby state that rights under contract or law have been conveyed to, and remain with, the small business concern identified above with regard to the invention described in:

- ☐ the specification filed herewith with title as listed above;
☒ the application identified above; or
☐ the patent identified above.

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights in the invention is listed below and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 C.F.R. § 1.9(c), if that person made the invention, or by any concern which would not qualify as a small business concern under 37 C.F.R. § 1.9(d) or a nonprofit organization under 37 C.F.R. § 1.9(e).

APPLICANTS: Angelico and Ricci
U.S.S.N.:

Each person, concern, or organization having any rights in the invention is listed below:

☒
☐

no such person, concern, or organization exists.

each such person, concern, or organization is listed below: ♦

♦ Note: Separate Statements Claiming Small Entity Status are required from each named person, concern, or organization having rights to the invention. 37 C.F.R. § 1.27.

Full Name:

Address:

☐ Individual ☐ Small Business Concern ☐ Non-profit Organization

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small business entity is no longer appropriate. 37 C.F.R. § 1.28(b).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further, that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Name of person signing:

Paul J. Angelico

Title in organization of person signing:

Executive Vice President, Chief Operating Officer

Address of person signing:

TWIN RIVERS TECHNOLOGIES, L.P.
780 Washington Street
Quincy, Massachusetts 02169

Signature:

Paul J. Angelico

Date:

8/23/01

08-27-01

Express Mail Label No.: 831678434 US
Date of Deposit: August 24, 2001

A

Attorney Docket No. 14859-022

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

FIRST-NAMED INVENTOR OR Paul J. Angelico
APPLICATION IDENTIFIER:

FOR:

USE OF A NATURAL OIL BYPRODUCT AS A REDUCED-EMISSIONS
ENERGY SOURCE

August 24, 2001
Boston, Massachusetts

Box PATENT APPLICATION
Assistant Commissioner for Patents
Washington, D.C. 20231

REQUEST FOR FILING A NEW NONPROVISIONAL APPLICATION
UNDER 37 C.F.R. §1.53(b)

1. This is a request for filing a new nonprovisional application under 37 C.F.R. §1.53(b).
2. ☒ Specification and Drawings (Total pages: 16)
Specification (8 pages); Claims (5 pages); Abstract (1 page); and
Drawings: 2 sheets; FIGS. 1-2.
☐ Formal
☒ Informal
3. ☒ Declaration and Power of Attorney
☐ Unsigned
☒ Signed
4. ☐ Information Disclosure Statement (IDS)
☐ Copy of IDS and PTO-1449 (___ pages)
☐ Copies of references cited
5. ☒ Assignment Papers
☒ Recordation Form Cover Sheet (PTO-1595)
☒ Assignment Document
6. ☒ Statement Claiming Small Entity Status
☐ Claiming Small Entity As Independent Inventor (37 C.F.R. §§1.9(f) & 1.27(b)).
☒ Claiming Small Entity As Small Business Concern (37 C.F.R. §§1.9(f) & 1.27(c)).
☐ Claiming Small Entity As Nonprofit Organization (37 C.F.R. §§1.9(f) & 1.27(d)).

7. Fee Calculation

CLAIMS AS FILED					
Claims	Number Filed	Basic Fee Allowance	Number Extra	Rate	Basic Fee 37 C.F.R. 1.16(a) \$710.00
Total Claims (37 C.F.R. 1.16(c))	33	- 20 =	13	\$ 18.00	234.00
Independent Claims (37 C.F.R. 1.16(b))	3	- 3 =		\$80.00	0.00
Multiple Dependent Claim(s), if any (37 C.F.R. 1.16(d))				\$270.00	0.00
SUBTOTAL:					\$944.00
Reduction by 50% for filing by small entity:					- \$472.00
TOTAL FEE:					\$472.00

8. ☒ Two checks are enclosed herewith: #9993 in the amount of \$472.00 in payment of application filing fee; #9994 in the amount of \$40.00 in payment of Assignment recordation fee.
9. ☒ The Commissioner is hereby authorized to credit overpayments or charge the following fees to Deposit Account No. 50-0311, Ref. No. 14859-022:
- ☒ Fees required under 37 C.F.R. §1.16;
☒ Fees required under 37 C.F.R. §1.17;
☒ Fees required under 37 C.F.R. §1.18.
10. ☒ Return Receipt Postcard Enclosed.
11. ☐ Other Documents Enclosed:
- ☐ Change of Attorney Address In Application.
☐ Limited Recognition under 37 C.F. § 10.9(b) for Michel Morency.

Respectfully submitted,



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